



**CERTIFICATION SCHEME
FOR
PROPERTY SERVICE AND NETWORK
CONNECTIONS – MINOR WORKS**

GUIDELINES FOR ENDORSED CONSULTANTS

25 September 2014

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To remove any doubt, if there is any inconsistency between the information set out in these Guidelines and the Deed or the Interim Connections Policy then the Deed and the Interim Connections Policy will prevail to the extent of such inconsistency.

Changes may be made periodically to the information contained in these Guidelines. Readers should ensure they obtain the latest version of these Guidelines available from www.urbanutilities.com.au/development-services.

Table of Contents

1. ABOUT THESE GUIDELINES	5
1.1. PURPOSE	5
1.2. WHO SHOULD USE THESE GUIDELINES	5
1.3. TRANSITIONAL ARRANGEMENTS	5
1.4. AMENDMENTS AND UPDATES	6
1.5. COMMITMENTS TO QUALITY	6
1.6. RELEVANT LEGISLATION	6
2. OVERVIEW OF CERTIFICATION SCHEME.....	7
2.1. BACKGROUND	7
2.2. SERVICE AREA	7
2.3. CONCEPT	7
2.4. BENEFITS SOUGHT	8
2.5. MINOR WORKS DEFINITION	8
2.6. BUSINESS APPROACH	9
2.7. DISPUTE RESOLUTION	10
2.8. ELECTRONIC LODGEMENT	10
3. OVERVIEW OF THE CERTIFICATION SERVICES	11
3.1. INTRODUCTION	11
3.2. SCOPE OF SERVICES	11
3.3. CERTIFICATION	11
4. DESIGN PHASE CERTIFICATION SERVICES.....	15
4.1. OVERVIEW	15
4.2. DESIGN STANDARDS	15
4.3. SCOPE OF SERVICES	15
4.4. DESIGN CERTIFICATION MATERIAL.....	16
4.5. AUDIT AND COMPLIANCE.....	16
5. CONSTRUCTION PHASE CERTIFICATION SERVICES	17
5.1. OVERVIEW	17
5.2. AUTHORISATIONS.....	17
5.3. SCOPE OF SERVICES	17
5.4. LIVE WORKS	18
5.5. LODGEMENT OF CONSTRUCTION CERTIFICATION MATERIAL.....	19
5.6. CONNECTION CERTIFICATE	20
5.7. AUDIT AND COMPLIANCE.....	20
6. MAINTENANCE PHASE CERTIFICATION SERVICES.....	22
6.1. OVERVIEW	22
6.2. MAINTENANCE PERIOD	22
6.3. SCOPE OF SERVICES	22
6.4. LODGEMENT OF MAINTENANCE CERTIFICATION MATERIAL	22
6.5. END OF MAINTENANCE NOTIFICATION	22
7. FEES AND CHARGES	23
7.1. OVERVIEW	23
7.2. CERTIFICATION SCHEME AUDIT AND COMPLIANCE FEE	23
7.3. ADDITIONAL AUDIT FEES	23

8. AUDITING	24
8.1. GENERAL APPROACH TO AUDITING.....	24
8.2. NON-COMPLIANCE.....	24
ATTACHMENT 1 – ENDORSEMENT PROCESS	30
A1.1 INTRODUCTION.....	30
A1.2 TRANSITIONAL ARRANGEMENTS.....	30
A1.3 APPLYING TO BECOME AN ENDORSED CONSULTANT	30
A1.4 ASSESSMENT CRITERIA	32
A1.5 ENDORSEMENT PROCESS	33
A1.6 RESERVATION OF RIGHTS	34

1. About these Guidelines

1.1. Purpose

These Guidelines provide general information on Queensland Urban Utilities (QUU) Certification Scheme for the provision of Property Service Infrastructure and Network Infrastructure that is classified by QUU as 'minor works' and outlines the processes that must be followed when carrying out certification services (Services) for minor works.

1.2. Who should use these Guidelines

- (a) These Guidelines are for entities that are approved by QUU to certify the design and construction of minor works (Endorsed Consultants). QUU requires Endorsed Consultants to be familiar with these Guidelines.
- (b) These Guidelines may also be useful for other persons, including Connection Customers undertaking minor works, constructors of minor works and QUU Development Services staff.

1.3. Transitional arrangements

- (a) Since 1 July 2010, Brisbane City Council (BCC), as the delegate of QUU, has provided development assessment functions in relation to minor sewer and water works (MSW). To streamline this development assessment function BCC established a third party certification scheme for MSW approvals (BCC *Minor Sewer and Water (DA)* process) which is broadly similar in design to the scheme that QUU has implemented pursuant to these Guidelines (QUU Certification Scheme).
- (b) Although BCC will continue to perform assessment functions as delegate of QUU for transitional matters, both QUU and BCC are of the view that development outcomes will be best facilitated if the MSW approvals are dealt with, as much as possible, under a single process, to be administered by QUU, from 1 July 2014 (QUU Certification Scheme).
- (c) As part of the transitional arrangements from the current *Sustainable Planning Act 2009 (SPA)* process for imposing a MSW Condition on a development approval, to the Water Approval process specified under the SEQ Water Act, BCC and QUU have agreed as follows:
 - (i) if a MSW Condition on a development approval is imposed by BCC as a delegate of QUU on or before 30 June 2014 and a BCC endorsed consultant has lodged certified designs with BCC by midnight on 30 June 2014 then the consultant should continue to provide the certification services to BCC in accordance with the BCC *Minor Sewer and Water (DA)* process;

- (ii) if a MSW Condition on a development approval is imposed by BCC as a delegate of QUU on or before 30 June 2014, and a BCC endorsed consultant has not lodged certified designs with BCC by midnight on 30 June 2014 then the QUU Certification Scheme will apply and BCC will treat the MSW Condition as being satisfied upon the QUU Endorsed Consultant lodging with BCC a copy of the relevant completion documentation issued to the Endorsed Consultant by QUU; and
- (iii) any MSW Condition on a development approval that is imposed by BCC as a delegate of QUU for transitional matters after 30 June 2014 will be subject to the QUU Certification Scheme.

1.4. Amendments and Updates

QUU will revise these Guidelines from time to time. QUU will notify Endorsed Consultants of amendments (other than minor amendments) and updated versions of these Guidelines. Endorsed Consultants must comply with the most recent version of these Guidelines as published on the QUU website.

1.5. Commitments to Quality

- (a) These Guidelines support QUU's commitment to:
 - (1) Ensure that connections or extensions to QUU's water, non-drinking water and wastewater networks meet relevant standards, support population growth, and protect the health and safety of the community; and
 - (2) Deliver a quality service that meets the evolving needs of QUU's customers at the lowest sustainable cost.
- (b) These commitments rely on the provision and maintenance of high quality infrastructure. Accordingly, QUU places high importance on the quality of design, construction and inspection services associated with the provision of Property Service Infrastructure and Network Infrastructure and Connections and will rely on the expertise and diligence of Endorsed Consultants to ensure that high quality infrastructure is delivered.

1.6. Relevant Legislation

All Endorsed Consultants are required to familiarise themselves with legislation relevant to provision of the Services. Relevant legislation is available at: <http://www.legislation.qld.gov.au> and includes:

- (a) Sustainable Planning Act 2009 (Qld);
- (b) Water Supply (Safety and Reliability) Act 2008 (Qld); and
- (c) SEQ Water (Distribution and Retail Restructuring) Act 2009 (Qld).

2. Overview of Certification Scheme

2.1. Background

- (a) Under the SEQ Water (Distribution and Retail Restructuring) Act 2009 (Qld) (SEQ Water Act), QUU must receive, assess, approve, provide advice and deliver connections to water and wastewater services for customers within its service territory.
- (b) The Certification Scheme ensures that QUU achieves the objectives of the SEQ Water Act by providing an efficient and cost-effective means for customers requiring Property Service and Network Connections that are classified by QUU as 'minor works' to connect to QUU's water and wastewater networks.

2.2. Service Area

- (a) QUU's service territory comprises the local government areas of Brisbane City Council, Ipswich City Council, Lockyer Valley Regional Council, Scenic Rim Regional Council, and Somerset Regional Council.
- (b) The Service Area for the Certification Scheme will include all local government areas in QUU's service territory.

2.3. Concept

- (a) This Certification Scheme provides a mechanism for these customers (Connection Customers) to engage 'third-party' engineering consultants approved by QUU (Endorsed Consultants) to certify that the design and construction of Property Service Infrastructure and Network Infrastructure classified by QUU as 'minor works' complies with Water Approval Conditions and the SEQ Water Supply and Sewerage Design and Construction Code (SEQ Code).
- (b) This arrangement relies on QUU approving applications for a Property Service Connection (other than a Standard Connection) or a Network Connection (or a combination of both), subject to a Water Approval Condition that the design and construction of the Works is certified by an Endorsed Consultant. The Endorsed Consultant must be engaged directly by the Connection Customer to provide these Services.
- (c) To become an Endorsed Consultant, engineering consultants must satisfy QUU's assessment criteria and enter into a Deed with QUU that sets out their role and responsibilities in providing the Services. This essential component of the Certification Scheme provides QUU with the security needed to assure compliance and asset quality. Details of the endorsement process and assessment criteria are set out in **Attachment 1**.
- (d) QUU will:
 - (1) Administer the Certification Scheme, including the endorsement process;
 - (2) Maintain a register of Endorsed Consultants; and
 - (3) Audit compliance.

2.4. Benefits Sought

The benefits sought by QUU from the Certification Scheme are:

- (a) Faster and more flexible design approval and works compliance processes for the high volume of low-risk water and wastewater connections satisfying the 'minor works' criteria;
- (b) Enable QUU to focus its resources on higher risk, more complex, connection applications;
- (c) Better quality assets, with reduced risk of rework and non-compliance;
- (d) A consistent approach across QUU's service territory, with less 'red-tape'; and
- (e) Connection Customers are free to select an Endorsed Consultant who they consider offers them an appropriate level of service and value for money.

2.5. Minor Works definition

Minor Works are defined as the design and construction of Property Service Infrastructure and/or Network Infrastructure that meets the following criteria:

Table 1. Minor Works Criteria

Minor Works Criteria	
Water	<ul style="list-style-type: none"> ▪ Water reticulation infrastructure up to 80 metres in length with a nominal internal diameter not exceeding 225 mm. ▪ Water Property Service Connections (other than Standard Connections).
Wastewater	<ul style="list-style-type: none"> ▪ Wastewater reticulation infrastructure up to 90 metres in length with a nominal internal diameter not exceeding 225 mm and not including more than two maintenance structures. ▪ Wastewater Property Service Connections (other than Standard Connections).
Exceptions	<ul style="list-style-type: none"> ▪ Connection Customers may also request on their connection application that other water and wastewater infrastructure that does not meet the above Minor Works Criteria be delivered under the Certification Scheme. QUU will consider such requests and may grant the request at its sole and absolute discretion, which will be confirmed in the Water Approval Conditions. ▪ QUU may identify on a case by case basis a site, development or network constraint that precludes Works from being eligible for delivery under the Certification Scheme, which will be confirmed in the Water Approval Conditions. For example, inner city precincts such as the Brisbane CBD, Fortitude Valley, South Brisbane, Kangaroo Point and Milton are likely to be precluded from the Certification Scheme.

2.6. Business Approach

QUU's business approach to the provision of Development Services is outlined in the QUU Corporate Plan and Customer Charter and, as it relates to the Services, is summarised as follows:

QUU's vision and strategic pillars¹

- (a) QUU's long-term vision is to be recognised for our excellence in water and wastewater services that meet the evolving needs of our customers and enhance our community. Our purpose is to enrich quality of life.
- (b) Our vision is underpinned by four strategic pillars, which are outlined below.
 - (1) *Customers* – We understand our customers and deliver a quality service that meets their evolving needs;
 - (2) *Shareholders and Communities* – We understand our shareholders' aspirations and are accountable to them and their communities;
 - (3) *Operational Excellence* – We innovate to drive operational excellence to achieve outcomes at the lowest long term cost; and
 - (4) *People* – We are safe, adaptable, capable and are committed to achieving our vision and living our values.

Customer Charter

- (c) Development Services is governed by QUU's Customer Charter. Our Customer Charter sets out our commitment to customers and our service standards. Endorsed consultants are expected to be familiar with our Customer Charter and deliver services in accordance with our service standards.

Customer Service

- (d) Consistent with the strategic pillars, QUU is committed to delivering customer service that is knowledgeable, responsive, helpful, friendly and courteous. Our customers want consistency and efficiency in the customer services they receive.

Workplace Health and Safety

- (e) Consistent with the strategic pillars, in addition to delivering quality customer service, QUU is committed to creating a 'no harm' workplace by ensuring the safety of everyone, everywhere, every day and to providing our employees and contractors with a healthy and safe working environment.
- (f) We fulfil this commitment through compliance with current Workplace Health and Safety legislation and through the development and implementation of a best practice Safety Management System.
- (g) The content of our Safety Management System is available for review online. To access this documentation, simply visit our Supplier Portal and login using the information provided below:

URL: <http://urbanutilities.com.au/suppliers-portal>

Username: quusupplier

Password: QUU7592

¹ Defined in QUU's Corporate Plan

Role of the Endorsed Consultant

- (h) Endorsed Consultants should consider QUU's vision, strategic pillars and customer service standards outlined above and ensure that their approach to delivering the Services is consistent with QUU's business approach.

2.7. Dispute Resolution

- (a) QUU endeavours to treat all its customers and suppliers in a fair and reasonable manner. If a difference or dispute arises between two or more parties in relation to the Certification Scheme, QUU will seek, in good faith, to resolve the matter by negotiation.
- (b) Disputes between Endorsed Consultants and QUU regarding the Certification Scheme will be resolved in accordance with the procedures set out in the Deed.
- (c) Endorsed Consultants should raise any issues of concern about the Certification Scheme with Michael Broadbent, Contracts & Assurance Services Leader, Development Services at michael.broadbent@urbanutilities.com.au, in the first instance.
- (d) Where the matter is related to an application for a Water Approval or Water Approval Conditions, QUU is the first and primary point of contact as set out in the Interim Connections Policy. Disputes related to Water Approvals must be resolved in accordance with the Interim Connections Policy and the SEQ Water Act.

2.8. Electronic Lodgement

- (a) QUU will primarily interact with Endorsed Consultants electronically, via an internet portal accessible on the QUU website via www.urbanutilities.com.au/development-services and clicking on the CONNECTIONS button.
- (b) Each Endorsed Consultant must nominate the individual(s) who will be the nominated user(s) of the internet portal and will provide a point of contact for QUU in relation to the day-to-day administration of the Certification Scheme.
- (c) The nominated user(s) will set up a customer account via the internet portal and provide an email address for supporting correspondence.
- (d) Forms, materials and templates that support and enable compliance with certification requirements will be published and available through QUU's internet portal.
- (e) Endorsed Consultants must provide information (asset information, drawings and documents) in a form that is compliant with the SEQ Code: Asset Information Standards and lodge this information via the internet portal.

3. Overview of the Certification Services

3.1. Introduction

- (a) The certification process commences with QUU approving an application for a Property Service Connection (other than a Standard Connection) or Network Connection (or a combination of both), and including a Water Approval Condition that the Property Service Infrastructure and/or Network Infrastructure Works must be certified by an Endorsed Consultant under the Certification Scheme.
- (b) The scope of the Services able to be provided by the Endorsed Consultant is outlined in Schedule 1 of the Deed and is repeated below for ease of reference.
- (c) Further details of the requirements for the design, construction and maintenance phases of the Works are set out in sections 4, 5 and 6 respectively.
- (d) The process for applying for a Property Service Connection or Network Connection is set out in the Interim Connections Policy.
- (e) Diagrams depicting the typical application, design, construction and maintenance phases for Works to be delivered under the Certification Scheme are provided in the Schedules to the Interim Connection Policy and are repeated at the end of this section 3 for ease of reference (Figure 1).

3.2. Scope of Services

In carrying out the Services, the Endorsed Consultant must:

- (a) Review all design information, including all drawings, reports, design verification forms and other documentation to ensure compliance with the Water Approval Conditions and in accordance with these Guidelines;
- (b) Carry out regular audits and inspections of the construction of the Works to ensure quality and compliance in accordance with the Water Approval and these Guidelines;
- (c) Record in writing and with sufficient detail, the particulars and findings of the audits and inspections carried out in relation to the Works; and
- (d) Provide certification as set out below and do all (other) things necessary to fulfil the role of Endorsed Consultant set out in these Guidelines.

3.3. Certification

- (a) The Endorsed Consultant must certify that:
 - (1) The design of the Works is in accordance with, and satisfies, the Water Approval Conditions (**Design Certificate**);
 - (2) The Works are constructed in accordance with the certified design (**Construction Certificate**);
 - (3) Where applicable, the design of the Works is in accordance with a variation approved by QUU pursuant to clause 6 of the Deed (details of which are to be set out in the Design Certificate);

- (4) Where applicable, the Works are constructed in accordance with a variation approved by QUU pursuant to clause 6 of the Deed (details of which are to be set out in the Construction Certificate); and
 - (5) The Works have been inspected at the conclusion of the applicable Maintenance Period (**End of Maintenance Certificate**) in accordance with these Guidelines.
- (b) The Endorsed Consultant must submit to QUU, in the manner stated in these Guidelines, the documents and notifications specified in column 1 (**Certification Material**), at the time specified in column 2 of Table 2.

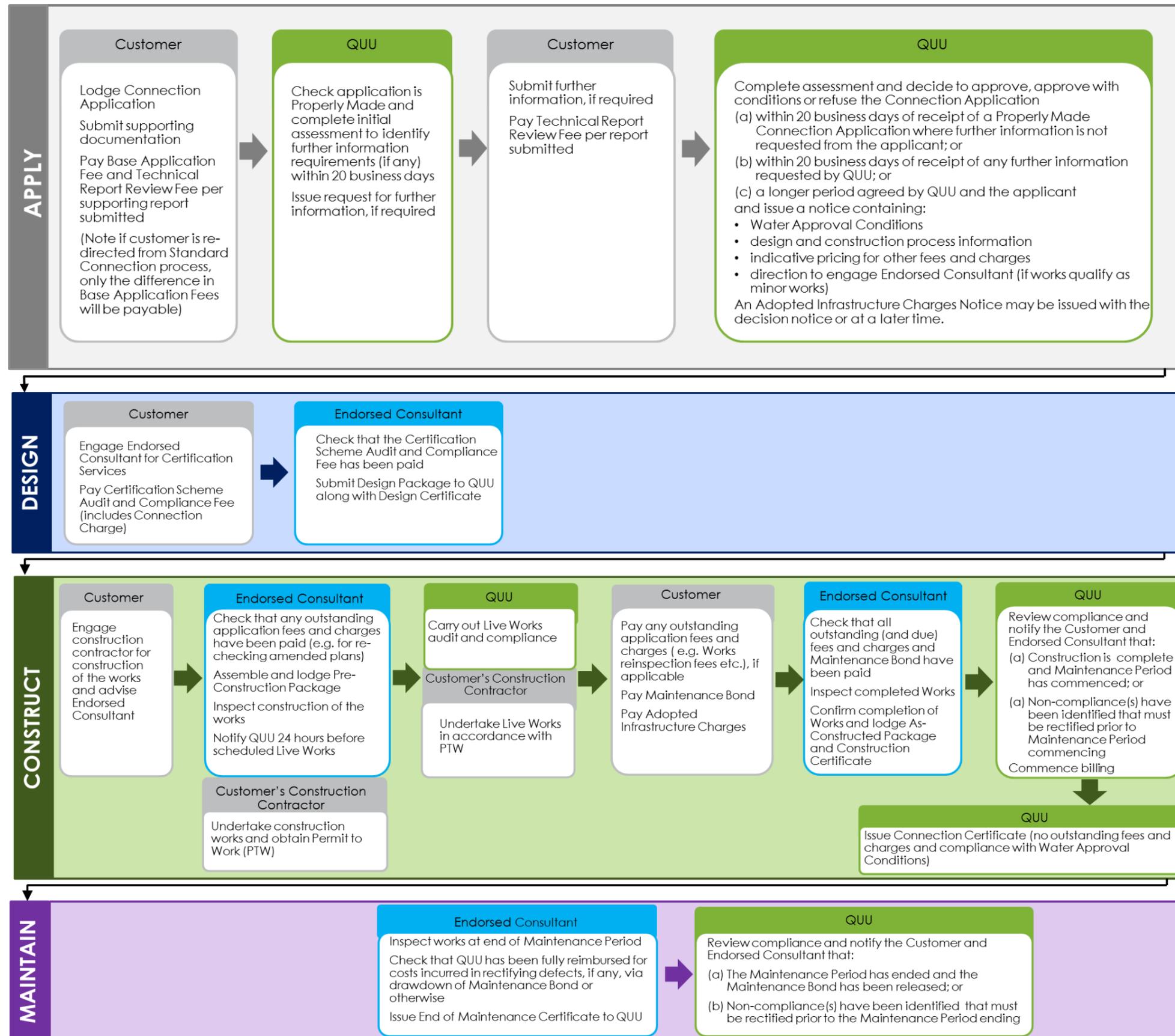
Table 2. Certification Material and Submission Timing

Column 1 – Certification Material	Column 2 – Submission Timing
Design Phase	
Design Package, including all drawings, reports, design verification forms and other documentation in accordance with these Guidelines and as required to satisfy relevant Water Approval Conditions.	Following payment to QUU of the Certification Scheme audit and compliance fee; and Prior to commencement of construction of the Works.
Design Certificate.	With the Design Package and prior to commencement of construction of the Works.
Construction Phase	
Pre-Construction Package, including notification of anticipated construction commencement and Live Works dates, supported by a detailed construction schedule and other documentation in accordance with these Guidelines and as required to satisfy relevant Water Approval Conditions.	Following completion of the design phase and payment of any additional fees and charges to QUU relating to re-checking of plans if the Design Package is audited by QUU and non-compliances are identified; and Prior to commencement of construction of the Works.
Notification of Hold Points required by QUU.	3 Business Days prior to Hold Points.
Notification of commencement of construction of the Works.	Within 1 Business Day of commencement of construction of the Works.
Notification of Live Works date.	With the Pre-Construction Package and confirmed in accordance with the requirements set out in the Permit to Work.
As-Constructed Package, including all drawings, reports, construction verification forms, meter information and other documentation updated to reflect the as-constructed status of the Works in accordance with these Guidelines and as required to satisfy relevant Water Approval Conditions.	Following payment of any additional fees and charges to QUU relating to re-inspection of the Works if the Works is audited by QUU and non-compliances are identified; and Following completion of the Works, including all Live Works.

Column 1 – Certification Material	Column 2 – Submission Timing
Construction Certificate.	With or after the As-Constructed Package and following completion of the Works, including all Live Works; and Following payment of the Maintenance Bond.
Maintenance Phase	
End of Maintenance Certificate.	At the conclusion of the Maintenance Period.

Notes to Table 2: When providing the Certification Material, the Endorsed Consultant must use the templates published by QUU on its internet portal, which may be updated from time to time.

Figure 1 – Connection Process Diagrams – Certification Scheme (Typical)



4. Design Phase Certification Services

4.1. Overview

- (a) The design phase commences following receipt of a decision notice by the Connection Customer granting a Water Approval that includes a condition that Property Service Infrastructure and/or Network Infrastructure must be certified by an Endorsed Consultant.
- (b) The Endorsed Consultant engaged by the Connection Customer must certify that the Works design complies with the relevant Water Approval Conditions and the standards specified in the Water Approval Conditions.
- (c) The Endorsed Consultant will lodge the certified design drawings and related documentation with QUU.
- (d) QUU will audit a selection of certified designs based on its assessment of the risk of non-compliance.
- (e) The certification scheme audit and compliance fee must be paid prior to lodgement of the Certification Material.

4.2. Design Standards

- (a) Works must be designed in accordance with the standards specified in the Water Approval Conditions – generally these will be consistent with the SEQ Code.
- (b) The design must address all design requirements specified in the Water Approval Conditions.
- (c) Should a particular design issue not be covered by any of the above documents, QUU's permission is required to use alternative design standards.
- (d) QUU also encourages design engineers to offer creative and innovative solutions for the design and construction of water and wastewater infrastructure, which are based on sound engineering principles and provide effective and economic alternatives over the life of the asset.
- (e) Endorsed Consultants must, however, seek approval from QUU for innovative/alternative design solutions in accordance with the mechanisms set out in the Deed and must specify the standard or engineering concept that has been used to design the Works.

4.3. Scope of Services

The Endorsed Consultant will:

- (a) Check that all required fees and charges are paid before lodging the Certification Material;
- (b) Ensure that the design of the Works is coordinated with any other QUU works, operations and services. This responsibility extends to co-ordination with councils, other authorities and parties who may have a direct or indirect interest in the construction and location of the proposed Works;

- (c) Certify the design. A Nominated RPEQ must certify the design. To remove any doubt, an Endorsed Consultant may also be the designer of the Works and a Nominated RPEQ can certify their own design.

4.4. Design Certification Material

Design Package

- (a) The Endorsed Consultant will lodge the Design Package via the internet portal in the form of a fully indexed suite of PDF documents (with active index/directory) and DWG drawing files.
- (b) The internet portal limits the upload of individual files larger than 10MB, and in the event that it is not possible to provide the Design Package in a single PDF file of less than 10MB the Design Package should be sub-divided into logical volumes of information.
- (c) The Design Package will comprise:
 - (1) A copy of the design drawings signed by a Nominated RPEQ;
 - (2) Technical reports (as relevant);
 - (3) Details of any approved variation to the design and specifications for the Works required by the Water Approval Conditions, including evidence that QUU has approved such variation pursuant to clause 6 of the Deed;
 - (4) Design verification forms; and
 - (5) Other documentation required to satisfy relevant Water Approval Conditions or as requested by QUU during the design phase.

Design Certificate

- (d) The Endorsed Consultant will lodge the Design Certificate with the Design Package.
- (e) The Design Certificate must be in the form specified by QUU – a template is available on the QUU internet portal.
- (f) The Design Certificate must be signed for and on behalf of the Endorsed Consultant and by a Nominated RPEQ.
- (g) QUU accepts and recognises digital signatures.

4.5. Audit and Compliance

- (a) QUU will audit a selection of certified designs. Where such audits identify any non-compliance with the requirements of the Certification Scheme, QUU will notify the Connection Customer and the Endorsed Consultant and take whatever action QUU deems necessary in accordance with the Deed.
- (b) QUU may require that the Endorsed Consultant rectify the non-compliance and resubmit certain aspects of the Design Package and/or Design Certificate.
- (c) In the event QUU requires Certification Material to be resubmitted, QUU may charge an additional fee.

5. Construction Phase Certification Services

5.1. Overview

- (a) The construction phase commences following completion of the design phase (including payment of all outstanding fees and charges relating to that phase) and lodgement of the Pre-Construction Package.
- (b) During construction, the Endorsed Consultant must inspect the Works at sufficient frequency to verify compliance with the certified design and relevant standards.
- (c) Following completion of the Works, including all Live Works, the Endorsed Consultant must inspect the completed Works and lodge the As-Constructed Package and the Construction Certificate.
- (d) QUU may audit construction of the Works as part of its audit and compliance program. QUU may identify Hold Points during the construction schedule, at which work is not to proceed until QUU has inspected the Works. The Endorsed Consultant must coordinate any inspections for which QUU has notified the Connection Customer and/or Endorsed Consultant that it requires its personnel to be present.

5.2. Authorisations

- (a) Prior to commencement of construction of the Works the Connection Customer must ensure that all necessary Authorisations have been obtained for the Works (such as council approvals and road closures).
- (b) A schedule setting out all Authorisations required to be obtained for the construction of the Works should be included in the Pre-Construction Package, with full details of relevant Authorisations provided to QUU on request.

5.3. Scope of Services

The Endorsed Consultant will:

- (a) Check that any additional fees and charges relating to re-checking of plans (if the Design Package is audited by QUU and non-compliances are identified) have been paid before lodging the Pre-Construction Package;
- (b) Submit the Pre-Construction Package, including notification of anticipated construction commencement and Live Works dates, supported by a detailed construction schedule and other required documentation;
- (c) Formally notify QUU of commencement of construction of the Works within 1 Business Day of commencement;
- (d) Inspect the Works during construction to ensure compliance with certified designs and standards;
- (e) Notify QUU if non-compliances are identified and rectification is required;
- (f) Inspect again to ensure rectification has been completed in accordance with the specified requirements;

- (g) Coordinate any inspections that QUU notifies the Endorsed Consultant that it requires, including providing QUU with at least 3 Business Days prior notice for any Hold Points required by QUU;
- (h) Undertake an inspection of the completed Works, including following completion of the Live Works;
- (i) Check that the Maintenance Bond has been paid before issuing the Construction Certificate; and
- (j) Submit the As-Constructed Package and Construction Certificate to QUU via the internet portal, including all as-constructed drawings, reports, construction verification forms, meter information and other information required.

5.4. Live Works

- (a) A live asset is an asset that either carries water or sewage or is connected unplugged to an asset that carries water or sewage. An asset is unplugged when there is no plug, closed valve or other blocking device between the asset and a live asset.
- (b) Working on live assets (**Live Works**) includes making a hole in a pipe or maintenance structure carrying water or sewage, opening a maintenance hole cover, inserting tools into a maintenance hole or shaft, entering a maintenance hole, and operating valves or other equipment.
- (c) Working on live wastewater assets can be extremely hazardous and potentially life threatening. Working on live assets poses particular risks, including:
 - (1) Limited entry to and exit from the asset (confined space);
 - (2) Possible exposure to a harmful or dangerous atmosphere or conditions; and
 - (3) Potential risk of fall-from-heights.
- (d) There is also a significant public health and safety risk associated with conducting work on live assets and the potential to disrupt services to QUU's customers.
- (e) QUU will take legal action against any person who interferes with QUU water and wastewater assets without prior approval or consent.
- (f) QUU may terminate the Deed without notice in the event that QUU becomes aware that an Endorsed Consultant has interfered with or carried out any works on QUU water and wastewater assets without prior approval or consent, or has been complicit in allowing other parties to do so.
- (g) Live Works will typically be carried out by the Connection Customer (via its construction contractor) in accordance with a Permit to Work and/or Network Access Licence granted by QUU and subject to audit and compliance inspections undertaken by QUU. However, QUU reserves the absolute right to carry out the Live Works itself in accordance with the Water Approval Conditions.
- (h) The Endorsed Consultant is responsible for notifying QUU of the Live Works date and compiling and certifying as-constructed information. However, other than this, the Endorsed Consultant has no liability in relation to the actual carrying out of Live Works.

5.5. Lodgement of Construction Certification Material

Pre-Construction Package

- (a) The Endorsed Consultant will lodge the Pre-Construction Package via the internet portal in the form of a fully indexed consolidated PDF (with active index/directory).
- (b) The Pre-Construction Package will comprise:
 - (1) Notification of anticipated construction commencement and Live Works dates, supported by a detailed construction schedule;
 - (2) Inspection schedule setting out the scope and timing of the Works inspections that the Nominated RPEQ will undertake to verify compliance of the Works with the certified design;
 - (3) Authorisations schedule setting out all Authorisations required and obtained for the construction of the Works and any Hold Points that will occur in the event that there are Authorisations relating to later stages of construction still to be obtained;
 - (4) A copy of the landowner's consent(s) in relation to the Works;
 - (5) Details of the construction contractor;
 - (6) Confirmation that the Qleave Levy has been paid to the Building and Construction Industry (Portable Long Service Leave) Authority;
 - (7) Construction verification forms; and
 - (8) Other documentation required to satisfy relevant Water Approval Conditions or as requested by QUU during the design phase.

As-Constructed Package

- (c) Following completion of the Works, including all Live Works, the Endorsed Consultant will lodge the As-Constructed Package via the internet portal in the form of fully indexed PDF documents (as per the Design Package) and also electronic copies of all as-constructed drawings in a form that is compliant with the SEQ Code: Asset Information Standards.
- (d) The As-Constructed Package will comprise:
 - (1) A copy of the relevant aspects of the Design Package updated to reflect the as-constructed status of the Works and signed by a Nominated RPEQ;
 - (2) Details of any approved variation to the certified design including evidence that QUU has approved such variation pursuant to clause 6 of the Deed;
 - (3) Construction verification forms;
 - (4) Test results, including pressure tests, bacteriological tests and sewer camera inspection records (as relevant);
 - (5) Easement agreements and other Authorisations relevant to the completed Works;
 - (6) Operations and maintenance manuals for the Works (as relevant);

- (7) Details of the party that will undertake maintenance activities during the maintenance phase and a schedule of maintenance activities to be undertaken by the maintenance contractor;
- (8) Water meter information, including the make, model, date and meter reading on completion of the Live Works and commencement of supply; and
- (9) Other documentation required to satisfy relevant Water Approval Conditions or as requested by QUU during the design and/or construction phase.

Construction Certificate

- (e) The Endorsed Consultant will lodge the Construction Certificate with the As-Constructed Package.
- (f) The Construction Certificate must be in the form of the template provided by QUU via the internet portal and be signed for and on behalf of the Endorsed Consultant and by a Nominated RPEQ.

Notification of Construction Completion

- (g) Within 5 Business Days of lodgement of the Construction Certificate, QUU will review compliance and notify the Connection Customer and the Endorsed Consultant that:
 - (1) Construction is complete and the Maintenance Period has commenced; or
 - (2) QUU has identified non-compliance(s) that must be rectified prior to the Maintenance Period commencing.
- (h) Following rectification of the non-compliance(s), the Endorsed Consultant will re-submit relevant information and QUU will notify the Connection Customer and the Endorsed Consultant that construction is complete and the Maintenance Period has commenced.

5.6. Connection Certificate

- (a) Once construction is complete and all outstanding fees and charges (including infrastructure charges) have been paid to QUU, QUU will issue a Connection Certificate to the Connection Customer.
- (b) The Connection Certificate confirms that relevant drinking water, non-drinking water or wastewater services are available, relevant Water Approval Conditions are complied with and all outstanding fees and charges, including any outstanding water charges, have been paid.

5.7. Audit and Compliance

- (a) QUU will audit a selection of construction phase services undertaken by the Endorsed Consultant. Where such audits identify any non-compliance with the requirements of the Certification Scheme, QUU will notify the Connection Customer and the Endorsed Consultant and take such other actions as QUU deems necessary in accordance with the Deed and Water Approval Conditions.

- (b) In certain limited circumstances, QUU may notify the Connection Customer and the Endorsed Consultant of specific Hold Points where construction cannot proceed until QUU has completed an inspection of the Works. In these circumstances the Endorsed Consultant must provide QUU with at least 3 Business Days notice of any Hold Points.
- (c) In the event QUU requires certain Certification Material to be resubmitted, QUU may charge the Connection Customer an additional fee.

6. Maintenance Phase Certification Services

6.1. Overview

- (a) The maintenance phase will commence when QUU notifies the Connection Customer and the Endorsed Consultant that construction is complete and the Maintenance Period has commenced.
- (b) The Connection Customer is responsible for maintenance in accordance with the Water Approval Conditions.
- (c) The Endorsed Consultant will undertake an inspection and certify compliance at the end of the Maintenance Period.

6.2. Maintenance Period

- (a) The Maintenance Period will be set out in the Water Approval Conditions. In general, the Maintenance Period is twelve (12) months, but may vary according to the class and level of risk of the asset.
- (b) QUU may audit compliance during the Maintenance Period. QUU will require that maintenance and defects be addressed in accordance with the Water Approval Conditions.

6.3. Scope of Services

The Endorsed Consultant will:

- (a) At the end of the Maintenance Period, inspect the maintenance records and the Works site and certify to QUU that that any defects have been rectified and that there are no known defects; and
- (b) Lodge the End of Maintenance Certificate via the internet portal along with any other documentation required to satisfy relevant Water Approval Conditions.

6.4. Lodgement of Maintenance Certification Material

End of Maintenance Certificate

- (a) The Endorsed Consultant will lodge the End of Maintenance Certificate.
- (b) The End of Maintenance Certificate must be in the form of the template provided by QUU via the internet portal and be signed for and on behalf of the Endorsed Consultant and by a Nominated RPEQ.

6.5. End of Maintenance Notification

- (a) Within 5 business days of lodgement of the End of Maintenance Certificate, QUU will review compliance and notify the Connection Customer and Endorsed Consultant that:
 - (1) The Maintenance Period has ended and the Maintenance Bond has been released; or
 - (2) QUU has identified non-compliance(s) that must be rectified prior to the Maintenance Period ending.

7. Fees and Charges

7.1. Overview

- (a) The fees and charges that apply to the Certification Scheme are set out in QUU's Interim Connections Policy which will apply from 1 July 2014.
- (b) The categories of fees and charges applicable to the Certification Scheme are repeated below for ease of reference.
- (c) To remove any doubt, if there is any inconsistency between the information set out in this section and the Interim Connections Policy then the Interim Connections Policy will take precedence to the extent of such inconsistency.

7.2. Certification Scheme Audit and Compliance Fee

- (a) This fee is applicable to Water Approvals for which QUU has determined that the design and construction of the Works falls under the Certification Scheme (as confirmed in the Water Approval Conditions).
- (b) Where a customer has been granted approval to connect to multiple services in a single Water Approval, this fee will apply for each service (i.e. drinking water, non-drinking water and/or wastewater).
- (c) The fee must be paid by the Connection Customer to QUU prior to the Endorsed Consultant lodging the Certification Material and covers:
 - (1) QUU's administration of the Certification Scheme; and
 - (2) Connection charge, comprising one Live Works inspection by QUU and provision of the Connection Certificate.

7.3. Additional Audit Fees

- (a) If QUU identifies any non-compliance(s) during its routine audit and compliance activities, QUU will charge the following additional fees:
 - (1) Re-checking amended plans – to re-check each plan (which includes each drawing, technical report or other document) for which a non-compliance has been identified; and
 - (2) Re-inspection of Works – to re-inspect the Works after a scheduled inspection has identified a non-compliance.
- (b) These additional audit fees must be paid to QUU prior to the Endorsed Consultant lodging the Pre-Construction Package, in relation to design phase non-compliances, and the As-Constructed Package, in relation to construction phase non-compliances.

8. Auditing

8.1. General Approach to Auditing

- (a) The Connection Customer, construction contractors and the Endorsed Consultant are entirely responsible for the quality of the Works.
- (b) QUU may audit both the Works and the activities of the Endorsed Consultant. Audits may be conducted in the Endorsed Consultant's office, at the Works site, or in QUU offices. It is a requirement of the Deed that Endorsed Consultants cooperate during audits.
- (c) QUU will have a systematic approach to auditing based on its assessment of the risk of non-compliance.
- (d) Endorsed Consultants must satisfy themselves of the quality and compliance of the Works before issuing any Certification Material. Endorsed Consultants should not rely on auditing or inspections by QUU to assure the quality or compliance of the Works.
- (e) Endorsed Consultants should anticipate that they will be subject to regular audits and that QUU will act on the results of the audit.
- (f) In addition to the goal of rectifying non-compliance, an objective of the audits is to identify opportunities to streamline processes, reduce cost and improve quality. Accordingly, QUU may share audit learnings with Endorsed Consultants and other industry stakeholders.

8.2. Non-Compliance

- (a) In the event that a non-compliance is detected, QUU's response will depend on the nature and severity of the non-compliance. For minor issues, QUU may raise these directly with the Endorsed Consultant and seek to have them rectified by the Endorsed Consultant during design and/or construction. Generally, QUU will seek to avoid delaying or disrupting the Works in these cases.
- (b) For more serious issues regarding the quality or compliance of the Works and/or the Services provided by the Endorsed Consultant, QUU may refuse to permit construction to continue past a Hold Point, refuse to issue a Permit to Work for Live Works, refuse to issue notification of commencement of the Maintenance Period, refuse to issue the Connection Certificate or refuse to issue notification of the Maintenance Period ending until the non-compliance issue(s) has been rectified.
- (c) Where Endorsed Consultants identify quality or compliance issues that cannot be resolved directly with the construction contractor or the Connection Customer, the Endorsed Consultant must not issue a Construction Certificate and must notify QUU.
- (d) Where QUU considers that there has been a breach of the Water Approval Conditions, QUU will advise the Connection Customer and may take appropriate action in accordance with its statutory powers.

- (e) Where non-compliance relates to the conduct of the Endorsed Consultant under the Deed, QUU may address the matter by enforcing the provisions in the Deed including giving notice of additional terms and conditions that the Endorsed Consultant must satisfy or, for serious matters, QUU may terminate the Deed.

Interpretation Schedule

Term	Description
As Constructed Package	means the package of information set out in this document recording the as-constructed details of the Works.
Authorisation	means any licence, permit, consent, approval, determination, certificate, clearance, permission or the like which is required to be obtained from any administering authority, regulating body or any other person or under any applicable Laws.
Business Day	means a day other than a Saturday, Sunday or public holiday in Brisbane, Queensland.
Certification	means a statement signed by the Endorsed Consultant and co-signed by a Nominated RPEQ certifying that the Works comply with the Water Approval Conditions and other requirements specified in these Guidelines.
Certification Material	means the material outlined in Table 2 and further specified in Sections 4, 5 and 6 of these Guidelines.
Certification Scheme	means the business initiative of QUU that is more particularly described in these Guidelines whereby appropriately qualified entities are endorsed by QUU to provide Services in accordance with the Deed and these Guidelines.
Certification Scheme Audit and Compliance Fee	means the fee set out in QUU's Interim Connections Policy that must be paid by the Connection Customer to QUU prior to the Endorsed Consultant lodging the Certification Material.
Connection	has the meaning given in the SEQ Water Act.
Connection Certificate	means the certificate issued by QUU to the Connection Customer (and copied to the Endorsed Consultant) confirming that the relevant drinking water, non-drinking water or wastewater services are available, relevant Water Approval Conditions are complied with and all outstanding fees and charges have been paid.
Connection Customer	means a person that is carrying out a connection to QUU's drinking water, non-drinking water or wastewater network.
Construction Certificate	means the certificate issued by the Endorsed Consultant to QUU certifying that the Works are constructed in accordance with the certified design.
Deed	means the deed entered into between QUU and each Endorsed Consultant pursuant to this Certification Scheme and relevant to the provision of the Services.

Term	Description
Design Certificate	means the certificate issued by the Endorsed Consultant to QUU certifying that the design of the Works is in accordance with, and satisfies, the Water Approval Conditions.
Design Package	means the package of information set out in Section 4.4 of these Guidelines.
End of Maintenance Certificate	means the certificate that the Endorsed Consultant will issue as set out in Section 6.4 of these Guidelines.
Endorsed Consultant	means consultants who are approved by QUU to certify the design and construction of the Works.
Guidelines	means these guidelines including any amendments to these guidelines that QUU may make from time to time.
Hold Points	has the meaning given in Section 5.7(b) of this document and refers to points during the construction schedule where construction cannot proceed until QUU has completed an inspection of the Works.
Interim Connections Policy	means the interim connections policy of QUU prepared pursuant to the SEQ Water Act.
Internet portal	means the software application providing an electronic connection application and work tracking solution accessible from QUU's website.
Laws	means all Acts of Parliament, regulations, by-laws, orders, awards, proclamations, licences, permissions, approvals, certificates and requirements of any administering authority or regulatory body.
Live Works	means working on any QUU asset that either carries water or sewage or is connected unplugged to an asset that carries water or sewage and includes making a hole in a pipe or maintenance structure carrying water or sewage, opening a maintenance hole cover, inserting tools into a maintenance hole or shaft, entering a maintenance hole, and operating valves or other equipment.
Maintenance Bond	means the bond set out in the Water Approval Conditions.
Maintenance Period	means a period of time prescribed by the Water Approval Conditions during which the Connection Customer is responsible for rectifying Works defects and carrying out relevant maintenance activities.
Minor Works	has the meaning specified in Section 2.5 of these Guidelines.
Minor Works Criteria	has the meaning specified in Table 2 at Section 2.5 of these Guidelines.

Term	Description
MSW	means minor sewer and water works as that term is used by Brisbane City Council.
MSW Condition	means a condition on a development approval that fulfils the criteria of a minor sewer and water condition pursuant to Brisbane City Council's <i>Minor Sewer and Water (DA)</i> process and which was imposed by Brisbane City Council as delegate of Queensland Urban Utilities on or before 30 June 2014.
Network Connection	has the meaning given in the SEQ Water Act.
Network Infrastructure	has the meaning given in the SEQ Water Act.
Nominated RPEQ	means a RPEQ who has been nominated by the Endorsed Consultant to undertake the Services.
Permit to Work	means a permit issued by QUU allowing a third party to carry out Live Works or to otherwise access QUU's water and wastewater networks that sets out the requirements for such Live Works and/or access.
Pre-Construction Package	means the package of information set out in Section 5.5 of these Guidelines.
Property Service Connection	has the meaning given in the SEQ Water Act.
Property Service Infrastructure	has the meaning given in the SEQ Water Act.
QUU	means Central SEQ Distributor-Retailer Authority (trading as Queensland Urban Utilities) ABN 86 673 835 011.
RPEQ	means a registered professional engineer under the <i>Professional Engineers Act 2002 (Qld)</i> .
SEQ Code	means the SEQ Water Supply and Sewerage Design and Construction Code as amended from time to time.
SEQ Water Act	means the South- East Queensland Water (Distribution and Retail Restructuring) Act 2009 (Qld) as amended from time to time
Service Area	means the area covered by the Certification Scheme, set out in Section 2.2 of these Guidelines.
Services	means the certification and any necessary or incidental services to be undertaken by the Endorsed Consultant as specified in these Guidelines.
Standard Connection	has the meaning given in the SEQ Water Act.

Term	Description
Water Approval	<p>means:</p> <ul style="list-style-type: none"> (a) a Water Approval as that term is defined in the SEQ Water Act; and (b) that part of a development approval that includes a MSW Condition imposed by Brisbane City Council as a delegate of QUU.
Water Approval Conditions	<p>means:</p> <ul style="list-style-type: none"> (a) the conditions of a Water Approval that relate to Property Service Infrastructure and/or Network Infrastructure and associated Works; or (b) a MSW Condition.
Works	<p>means:</p> <ul style="list-style-type: none"> (a) the Minor Works and all other necessary or incidental work for the design, construction, operation and delivery of the Minor Works that must be completed to comply with the Water Approval Conditions; and (b) such other water and wastewater infrastructure that does not meet the Minor Works Criteria but which QUU has specified in the Water Approval Conditions to be delivered under the Certification Scheme.

Attachment 1 – Endorsement Process

A1.1 Introduction

- (a) The endorsement process is a mechanism for QUU to select suitably qualified entities (**Endorsed Consultants**) which it can rely on to comply with the Certification Scheme requirements and to provide suitable assurances about the quality of design and construction of water and wastewater infrastructure. This includes providing QUU with the Certification Material, including all forms, certificates, drawings and associated reports.
- (b) To carry out the Services, entities will need to retain appropriately qualified personnel. Endorsed Consultants will need to ensure:
 - (1) Certification is carried out by a Nominated RPEQ in accordance with QUU's requirements set out in these Guidelines and the Deed;
 - (2) All Services are carried out by personnel with all current licenses, permits, qualifications and skills required by law to carry out the Services;
 - (3) The business and its personnel can lawfully work in Queensland; and
 - (4) The business and its personnel is/are not excluded, disqualified or banned from carrying out the Services.
- (c) The Endorsed Consultant will also need to maintain insurances as outlined in these Guidelines and below.

A1.2 Transitional Arrangements

- (a) To support the initial transition to the utility model framework prescribed under the SEQ Water Act, from 1 July 2014, QUU has established an initial register of Endorsed Consultants through an invitation for applications from consultants currently appointed under:
 - (1) Brisbane City Council's Minor Water and Sewer Works scheme;
 - (2) Ipswich City Council's major works appointed consultancies; and
 - (3) QUU's Panel Arrangement QUUO1314-072 (Professional Services – Infrastructure Consulting & Engineering Services).
- (b) Following initial establishment of the Certification Scheme, further invitations for applications to become an Endorsed Consultant will occur on a regular basis and at least annually and will be open to all entities that meet the requirements of the Certification Scheme.
- (c) However, QUU may invite or consider new applications at any time as and when deemed necessary.

A1.3 Applying to Become an Endorsed Consultant

- (a) Businesses interested in becoming an Endorsed Consultant may contact QUU at any time to register their interest.
- (b) Information on the timing for the next round of applications will be published on the QUU website. Businesses invited to submit an application will be requested to include the information set out in (c) to (k) below.

Applicant Details

- (c) The full registered name of the company or other entity (including Australian Business Number and Australian Company Number, where applicable) must be provided.
- (d) The application must be signed by a delegated officer(s), with authorisation to sign. The full name and position of the signatory must be the legal signatory for the entity.

Business Profile

- (e) The applicant must provide a copy of its business profile, including its principals and organisational structure and a brief capability statement relevant to the provision of the Services, including experience in the design and construction of water and wastewater infrastructure and knowledge of the SEQ Code and other industry standards.

Nominated RPEQs

- (f) Applicants must nominate individuals with RPEQ registration who will carry out the Certification aspects of the Services. Signed photocopies of current RPEQ registration must be provided for each person.

Service Coverage

- (g) The applicant must specify the areas of QUU's service territory that it can service, with reference to the local government areas.

Business Forecast and Commitment

- (h) QUU is seeking Endorsed Consultants that will provide a high quality of service to both QUU and its Connection Customers. Key considerations in this regard are that the consultant commits to providing the Services as one of its core service offerings and undertakes the Services frequently enough to become familiar with QUU's systems and processes and to build an efficient and productive working relationship with QUU.
- (i) Applicants must provide a statement of commitment in support of the above and a forecast of the pipeline of work it envisages through its participation in the Certification Scheme. This information will be treated as commercial-in-confidence.
- (j) The forecast should include details of the number of developments for which it expects to be appointed to provide Services in each of the next three years and the basis on which this forecast is made.

Insurance

- (k) Applicants must hold insurance cover as per the Deed. Generally this will include:
 - (1) Workers compensation insurance to the extent required by Law;
 - (2) Public liability insurance with a limit of indemnity of not less than \$20,000,000 for any one occurrence and covering liability out of or in connection with the Services; and

- (3) Professional indemnity insurance with a limit of indemnity of not less than \$1,000,000 per claim and \$2,000,000 in the aggregate covering liability in respect of a breach of a duty owed by the consultant in the performance of the Services.
- (l) Applicants should provide current certificate(s) of insurance confirming the above cover and including the name(s) of the insurance company, the amounts of cover, policy numbers and expiry dates.

Technology

- (m) The applicant must confirm that it is able to comply with the technology requirements set out in these Guidelines in relation to use of the internet portal.

Referees

- (n) The applicant must nominate at least two clients who QUU can contact regarding the quality of engineering consulting services provided by the applicant in relation to the design and construction of water and wastewater infrastructure relevant to the Services.
- (o) If the applicant has participated in one of the water and wastewater infrastructure certification schemes operated by Brisbane City Council or Ipswich City Council, QUU may also contact council representatives as part of reference checking.
- (p) QUU may also make its own enquiries as to the past performance of the applicant, including in relation to work undertaken for the benefit of QUU, which includes work undertaken under the Certification Scheme when considering renewal requests.

Acceptance of Terms

- (q) The applicant must confirm its agreement to participating in the selection and appointment process and the Certification Scheme on the terms set out in these Guidelines and the Deed.

A1.4 Assessment Criteria

- (a) QUU will assess applications against the following criteria:
 - (1) Qualifications, experience and capability – the extent that the applicant has demonstrated qualifications, experience and capability to provide the Services to a high quality, including in relation to the requirements and considerations set out in A1.3(e), (f) and (k) to (p) above;
 - (2) Service coverage – the extent that the applicant provides (in conjunction with other applicants/Endorsed Consultants) coverage of QUU's service territory, with reference to A1.3(g) above;
 - (3) Business commitment and participation – the extent that the applicant is committed to providing the Certification Services as one of its core service offerings, will have capacity available to Connection Customers and a reasonable prospect of being available to undertake projects on a regular basis throughout the year, with reference to A1.3(h) to (j) above.
 - (4) Acceptance of terms – the extent that the applicant has accepted the terms for participating in the Certification Scheme, with reference to A1.3(q) above; and

- (5) Other – QUU may apply other criteria and have regard to such other matters as, in its sole and absolute discretion, it considers relevant to the assessment of applications and delivery of the Certification Scheme.
- (b) These criteria are not listed in any special order of priority and may not be given equal weight.
- (c) While there is no pre-defined limit to the number of Endorsed Consultants, QUU may use the assessment criteria as a means of ranking applicants and restricting the number of Endorsed Consultants to a number that will achieve the benefits sought from the Certification Scheme while limiting the administrative burden on QUU.

A1.5 Endorsement Process

- (a) QUU will invite applications to become an Endorsed Consultant under its Certification Scheme.
- (b) Applications will be submitted to QUU, together with supporting information.
- (c) QUU will establish a panel, which may include a representative from the Board of Professional Engineers Queensland, to assess applications against the Assessment Criteria, including checking work histories and contacting referees, as required.
- (d) QUU will issue unsigned Deeds to selected applicants under a covering letter inviting them to enter into the Deed.
- (e) QUU will schedule an orientation session on the arrangements for the Certification Scheme. These sessions will be an opportunity to discuss the Deed and the scheme, and lay the foundation for the working relationship between QUU and the Endorsed Consultants.
- (f) Endorsed Consultants may be required to participate in training sessions covering such subjects as use of the internet portal, design and construction standards and the like.
- (g) The signed original Deed will be retained by QUU and a copy provided to the Endorsed Consultant.
- (h) QUU will enter the consultants' details on a register of Endorsed Consultants and make the list available to Connection Customers via the QUU website.
- (i) QUU will make a Certification Scheme 'toolkit' available to Endorsed Consultants via the internet portal, including guidelines and templates.
- (j) Endorsed Consultants should expect to be audited by QUU on a regular basis and will need to maintain and provide access to information, premises and construction sites in accordance with the requirements set out in the Deed and these guidelines.
- (k) QUU will undertake a periodic review of the performance and number of projects that each Endorsed Consultant has undertaken. This review process may result in QUU discussing any material concerns with the Endorsed Consultant and/or requiring the Endorsed Consultant to submit a full and up-to-date application along with any request for a Renewal Term under the Deed.

A1.6 Reservation of Rights

Without limiting its rights, QUU reserves the right, in its absolute discretion and at any time, to:

- (a) Change the structure, procedures and timing of the selection and appointment process or the Certification Scheme, including by varying the provisions of this document;
- (b) Alter the terms of participation in the Certification Scheme;
- (c) Seek clarification of any matter relating to its application;
- (d) Conduct due diligence investigations;
- (e) Terminate further participation in the selection and appointment process or the Certification Scheme of any party;
- (f) Refuse entry to the Certification Scheme to a particular party at any time;
- (g) Allow further parties to participate in the Certification Scheme;
- (h) Terminate or reinstate the Certification Scheme;
- (i) Not proceed with the Certification Scheme, in the manner outlined in this document, or at all;
- (j) Amend the scope of the Certification Scheme;
- (k) Accept an application which does satisfy all of the Assessment Criteria;
- (l) Accept an application which does not satisfy all of the Assessment Criteria;
- (m) Reject any application or all applications at any time for any reason;
- (n) Not provide applicants with any reason for any actions or decisions it may take, including in respect of the exercise by QUU of any or all of the abovementioned rights; and/or
- (o) Take such other action as it considers in its absolute discretion appropriate in relation to the selection and/or appointment process or the Certification Scheme.